

CUSTOMER CLAIM

Claim Number _____

Date Received _____

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

In Liquidation

DECEMBER 11, 2008

(Please print or type)

Name of Customer: Harold A. Thau

Mailing Address: c/o Redstone Accounting Services, Inc., 25 Sylvan Rd. South - Building B

City: Westport State: CT Zip: 06880

Account No: 1ZA467

Taxpayer I.D. Number (Social Security No.): Redacted

NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.

1. Claim for money balances as of **December 11, 2008:**

a. The Broker owes me a Credit (Cr.) Balance of \$ 0

b. I owe the Broker a Debit (Dr.) Balance of \$ 0

c. If you wish to repay the Debit Balance,
please insert the amount you wish to repay and
attach a check payable to "Irving H. Picard, Esq.,
Trustee for Bernard L. Madoff Investment Securities LLC."
If you wish to make a payment, **it must be enclosed**
with this claim form. \$ N/A

d. If balance is zero, insert "None." None

2. Claim for securities as of **December 11, 2008:**

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

- | | YES | NO |
|---|-------------------|-------------------|
| a. The Broker owes me securities | <u>✓</u> | <u> </u> |
| b. I owe the Broker securities | <u> </u> | <u>✓</u> |
| c. If yes to either, please list below: | | |

Date of Transaction (trade date)	Name of Security	Number of Shares or Face Amount of Bonds	
		The Broker Owes Me (Long)	I Owe the Broker (Short)

See Nov. 30, 2008 1ZA467 statements, attached hereto as Exhibit A.

\$ 8,382,839.37 (market value of securities long, per 1ZA467-3 statement)

\$ 293,700.00 (market value of securities long, per 1ZA467-4 statement)

(\$ 414,740.00) (market value of securities short, per 1ZA467-4 statement)

TOTAL: \$ 8,261,799.37

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

See Exhibits A and B, and documents submitted herewith.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

PLEASE CHECK THE APPROPRIATE ANSWER FOR ITEMS 3 THROUGH 9.

NOTE: IF "YES" IS MARKED ON ANY ITEM, PROVIDE A DETAILED EXPLANATION ON A SIGNED ATTACHMENT. IF SUFFICIENT DETAILS ARE NOT PROVIDED, THIS CLAIM FORM WILL BE RETURNED FOR YOUR COMPLETION.

- | | <u>YES</u> | <u>NO</u> |
|---|------------|-----------|
| 3. Has there been any change in your account since December 11, 2008? If so, please explain. | _____ | _____✓ |
| 4. Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker? | _____ | _____✓ |
| 5. Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker? | _____ | _____✓ |
| 6. Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s). | _____ | _____✓ |
| 7. Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming. | _____ | _____✓ |
| 8. Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers. | _____ | _____✓ |
| 9. Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker. | _____ | _____✓ |

Please list the full name and address of anyone assisting you in the preparation of this claim form: Matthew A. Kupillas, Esq., Milberg LLP, One Pennsylvania Plaza, New York, NY 10119

If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please indicate your claim is an estimated claim.

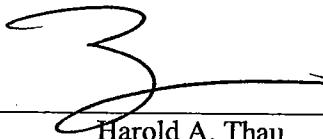
IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date

6/4/09

Signature



Harold A. Thau

Date

Signature

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

**This customer claim form must be completed and mailed promptly,
together with supporting documentation, etc. to:**

Irving H. Picard, Esq.,
Trustee for Bernard L. Madoff Investment Securities LLC
Claims Processing Center
2100 McKinney Ave., Suite 800
Dallas, TX 75201

EXHIBIT A

DEBENKARD L. MADOFF
INVESTMENT SECURITIES LLC
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 838-4061

DEBENKARD L. MADOFF
INVESTMENT SECURITIES LLC
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 838-4061

HAROLD A THAU

25 SYLVAN RD SU BLDG B CT 06880
WESTPORT

PERIOD ENDING 11/30/08
YOUR ACCOUNT NUMBER 1-7A467-3-0
YOUR TAX PAYER IDENTIFICATION NUMBER *****3125
PAGE 1

DATE	BOUGHT RECEIVED OR LONG	SOLD DEDELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	7,476		1014	BALANCE FORWARD		519,362.90	
11/12	5,340		1516	WELLS FARGO & CO NEW	29.800	223,083.80	
11/12	4,628		5340	HEWLETT PACKARD CO	34.900	186,579.00	
11/12	3,026		5842	WAL-MART STORES INC	55.830	258,566.24	
11/12	11,214		9666	INTERNATIONAL BUSINESS MACHS	87.270	264,200.02	
11/12	12,282		10168	EXXON MOBIL CORP	72.880	817,724.32	
11/12	5,874		14494	INTEL CORP	14.510	178,702.82	
11/12	8,010		18819	JOHNSON & JOHNSON	59.580	350,206.92	
11/12	4,272		23145	J.P. MORGAN CHASE & CO	38.530	308,945.30	
11/12	2,492		27471	COCA COLA CO	44.660	190,957.52	
11/12	4,628		31797	MCDONALDS CORP	55.370	138,081.04	
11/12	16,910		36123	MERCK & CO	28.550	132,314.40	
11/12	8,544		40449	MICROSOFT CORP	21.810	369,483.10	
11/12	3,382		53427	ORACLE CORPORATION	17.300	148,152.20	
11/12	1,958		53929	PEPSICO INC	56.410	190,913.62	
11/12	14,418		57753	APPLE INC	100.780	197,405.24	
11/12	3,382		58255	PFIZER INC	16.940	244,816.92	
11/12	6,408		62079	ABBOTT LABORATORIES	54.610	184,826.02	
11/12	2,314		62581	PROCTER & GAMBLE CO	64.080	410,880.64	
11/12	4,450		66405	AMGEN INC	59.160	136,988.24	
11/12	10,680		66907	PHILLIP MORRIS INTERNATIONAL	43.600	194,198.00	
11/12	3,560		70731	BANK OF AMERICA	21.590	231,008.20	
11/12	11,570		71233	QUALCOMM INC	33.770	120,363.20	
				CITI GROUP INC	12.510	145,202.70	
				CONTINUED ON PAGE 2			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

New York, NY 10022
(212) 280-2424
800 334-1343
Fax (212) 838-4061

DELUKAKU L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

HAROLD A THAU

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

YOUR ACCOUNT NUMBER 1-ZA467-3-0	PERIOD ENDING 11/30/08	PAGE 2
YOUR TAX PAYER IDENTIFICATION NUMBER *****3125		

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	2,670		75057	SCHLUMBERGER LTD	49.480	132,217.60	
11/12	6,408		75559	COMCAST CORP CL A	16.510	106,052.08	
11/12	12,638		79383	AT&T INC	27	341,731.00	
11/12	3,204		79885	CONOCOPHILIPS	52.510	168,370.04	
11/12	2,136		83709	UNITED PARCEL SVC INC CLASS B	52.040	111,242.44	
11/12	12,994		84211	CISCO SYSTEMS INC	16.730	217,908.62	
11/12	3,738		88035	U S BANCORP	29.530	110,532.14	
11/12	4,450		88537	CHEVRON CORP	73.430	326,941.50	
11/12	2,136		92361	UNITED TECHNOLOGIES CORP	53.160	113,634.76	
11/12	22,606		92863	GENERAL ELECTRIC CORP	19.630	444,659.78	
11/12	6,052		96687	VERIZON COMMUNICATIONS	30.410	184,283.32	
11/12	534		97189	GOOGLE	337.400	180,192.60	
11/12		8,075,000	23621	U S TREASURY BILL DUE 2/12/2009	99.936		8,069,832.00
11/12				FIDELITY SPARTAN U S TREASURY MONEY MARKET DIV 11/12/08	DIV		24.90
11/12		34,403	18724	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1		34,403.00
11/12	6,938		28092	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	6,938.00	
11/19				FIDELITY SPARTAN U S TREASURY MONEY MARKET DIV 11/19/08	DIV		.85
				CONTINUED ON PAGE 3			

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Madoff Securities International Limited
12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

885 Third Avenue
New York, NY 10022
(212) 230-2424
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Fax (212) 838-4061

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

HAROLD A THAU

25 SYLVAN RD. SD BLDG B.
WESTPORT CT 06880

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PERIOD ENDING
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YOUR ACCOUNT NUMBER
1-ZA467-3-0

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		6,938	53608	FIDELITY SPARTAN	1		6,938.00
11/19	525,000		58092	U S TREASURY MONEY MARKET	99.926	524,611.50	
11/19	15,616		62644	U S TREASURY BILL DUE 03/26/2009	1	15,616.00	
				FIDELITY SPARTAN			
				U S TREASURY MONEY MARKET		1,016,694.99	
				NEW BALANCE			
				SECURITY POSITIONS	MKT PRICE		
	12,638			AT&T INC	28.560		
	3,382			ABBOTT LABORATORIES	52.390		
	2,314			AMGEN INC	55.540		
	1,958			APPLE INC	92.670		
	10,680			BANK OF AMERICA	16.250		
	4,450			CHEVRON CORP	79.010		
	12,994			CISCO SYSTEMS INC	16.540		
	11,570			CITI GROUP INC	8.290		
	4,272			COCA COLA CO	46.870		
	6,408			COMCAST CORP	17.340		
				CL A			
	3,204			CONDOPHILIPS	52.520		
	11,214			EXXON MOBIL CORP	80.150		
	22,606			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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YOUR TAX PAYER IDENTIFICATION NUMBER
*******3125**

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	534			GOOGLE	292.960		
	5,340			HEWLETT PACKARD CO	35.280		
	12,282			INTEL CORP	13.800		
	3,026			INTERNATIONAL BUSINESS MACHS	81.600		
	8,010			J-P. MORGAN CHASE & CO	31.660		
	5,874			JOHNSON & JOHNSON	58.580		
	2,492			MCDONALDS CORP	58.750		
	4,628			MERCK & CO	26.720		
	16,910			MICROSOFT CORP	20.220		
	8,544			ORACLE CORPORATION	16.090		
	3,382			PEPSICO INC	56.700		
	14,418			PFIZER INC	16.430		
	4,450			PHILLIP MORRIS INTERNATIONAL	42.150		
	6,408			PROCTER & GAMBLE CO	64.350		
	3,560			QUALCOMM INC	33.570		
	2,670			SCHLUMBERGER LTD	50.740		
	15,616			FIDELITY SPARTAN	1		
	3,738			U S TREASURY MONEY MARKET	26.980		
	2,136			U S BANCORP	57.600		
	525,000			UNITED PARCEL SVC INC	99.971		
	2,136			CLASS B	48.530		
				U S TREASURY BILL			
				DUE 03/26/2009			
				3/26/2009			
				UNITED TECHNOLOGIES CORP			
				CONTINUED ON PAGE 5			

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**885 Third Avenue
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(212) 230-2424
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Fax (212) 838-4061**

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

HAROLD A THAU

25 SYLVAN RD SO BLDG B
WESTPORT CT 06880

YOUR ACCOUNT NUMBER
1-ZA467-3-D

***3125

CONCLUSIONS

DATE	QUANTITY RECEIVED OR LONG	QUANTITY DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	6,052			VERIZON COMMUNICATIONS	32-650		
	4,628			WAL-MART STORES INC	55-880		
	7,476			WELLS FARGO & CO NEW	28-890		
				MARKET VALUE OF SECURITIES			
				LONG			
				8,382,839.37			
				SHORT			

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BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

HAROLD A. THAU

25 SYLVAN RD SO BLDG B
WESTPORT CT 06880

YOUR ACCOUNT NUMBER
1-ZA467-3-0

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11/30/08

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YOUR TAXPAYER IDENTIFICATION NUMBER
*****3125

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Madoff Securities International Limited
12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

885 Third Avenue
New York, NY 10022
(212) 230-2424
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New York □ London

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25 SYLVAN RD SO BLDG B CT 06880
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YOUR ACCOUNT NUMBER
1-7A467-4-0

YOUR TAXPAYER IDENTIFICATION NUMBER
*****3125

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12				BALANCE FORWARD			519,363.00
11/12	178	178	44775	S & P 100 INDEX NOVEMBER 460 CALL	15.800		281,062.00
11/19	178	178	49101	S & P 100 INDEX NOVEMBER 450 PUT	17.800	317,018.00	
11/19	178	178	35205	S & P 100 INDEX DECEMBER 430 CALL	26		462,522.00
11/19	178	178	39530	S & P 100 INDEX DECEMBER 420 PUT	30	534,178.00	
11/19	178	178	43855	S & P 100 INDEX NOVEMBER 460 CALL	35	558,578.00	
11/19			48180	S & P 100 INDEX NOVEMBER 450 PUT	37		658,422.00
				NEW BALANCE			1,016,695.00
				SECURITY POSITIONS			
				S & P 100 INDEX DECEMBER 430 CALL	MKT PRICE 23.300		
	178			S & P 100 INDEX DECEMBER 420 PUT	16.500		
				MARKET VALUE OF SECURITIES			
				LONG			
				293,700.00			
				SHORT			
				414,740.00			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

EXHIBIT B

EXHIBIT B

1. This Claim Form, exhibits, and supporting documentation (collectively "Claim Form") is submitted pursuant to the December 23, 2008 Order of the Honorable Burton R. Lifland and the instructions disseminated by Irving H. Picard, Trustee for Bernard L. Madoff Investment Securities LLC ("Trustee"), on December 11, 2008.
2. The information provided in the Claim Form is based on the information provided in the Claimant's latest Madoff account statement and any additional information known by the Claimant as of the date of the submission of the Claim Form. The Claimant reserves the right to amend and/or supplement this Claim Form upon the receipt of further information, or upon request by the Trustee for additional information.
3. The Claimant reserves the right to amend the Claim Form in the event of any recoveries by the Trustee or any other party under the avoidance powers of the Bankruptcy Code or otherwise, or in the event of rejections of executory contracts pursuant to Bankruptcy Code Section 365, whether such amendments are made pursuant to Bankruptcy Code Sections 105, 502(g), or 502(h), Bankruptcy Rule 3002(c)(3), (4), other provisions of applicable bankruptcy law, or general principles of law and equity.
4. The Claimant hereby requests that the Claim Form be considered as a proof of claim in *In re Bernard L. Madoff Investment Securities LLC*, No. 08-01789 (Bankr. S.D.N.Y.).
5. This Claim Form is required to be submitted pursuant to the Court's January 2, 2009 Order and the Trustee's instructions to the Claimant. To the extent permitted by the applicable law, the Claimant does not consent to the jurisdiction of the Bankruptcy Court nor does Claimant waive any right to trial by jury.
6. The Claimant reserves all rights, claims, and/or defenses as to and/or against any and all parties potentially liable for the losses sustained by the Claimant, including, without limitation, Bernard L. Madoff Investment Securities LLC and its owners, partners, employees, and affiliates, as well as any potentially liable third parties including, without limitation, investment advisors, "feeder funds," accountants, and auditors.
7. The Claimant further reserves all rights, claims, and/or defenses as to and/or against any persons and/or creditors asserting claims against Bernard L. Madoff Investment Securities LLC, its employees, owners, and/or affiliates, in bankruptcy or otherwise.
8. The Claimant reserves all objections as to the competence, relevance, materiality, privilege, or admissibility of evidence in any subsequent proceeding or trial of this or any other action for any purpose whatsoever, notwithstanding the submission of any such information to the Trustee.
9. To the extent the Claimant has disclosed to the Trustee documents containing accounting and/or legal advice, the Claimant does not waive any potential privileges applicable thereto.

Claimant: *Harold A. Thau (Account no. 1ZA467)*

10. The Claimant reserves all rights with respect to submitting information to the Internal Revenue Service regarding gains, losses, and/or theft of assets.
11. The Claim Form and supporting documents contain confidential information. The Claimant submits this information to the Trustee subject to the condition that this information will not to be disclosed to any third parties, other than under seal to the Court, absent the Claimant's express consent or Court order.
12. During the lifetime of the account, the Claimant may have contributed and/or withdrawn sums of money. The Claimant's final account balance set forth in Exhibit A takes into account any such contributions and/or withdrawals. Claimant continues to search for additional documents relating to such contributions or withdrawals and reserves the right to supplement this submission if additional documents are found.
13. The Claimant submits herewith documents in support of the Claimant's claim. The Claimant reserves any arguments that such documents are not relevant to the Trustee's inquiry. The Claimant further reserves the right to supplement this submission, including the submission of additional documents if deemed necessary. Below is a list of the documents submitted herewith:

2008

- BMIS account statements for time period ending 11/30/08.
- BMIS account statements for time period ending 10/31/08.
- BMIS account statements for time period ending 09/30/08.

**DOCUMENTS SUBMITTED
WITH THE CLAIM OF**

HAROLD A. THAU

(Account no. 1ZA467)

Madoff Securities International Limited
12 Berkeley Street
Mayfair, London W1J 8DT
Tel 020 7493 6222

885 Third Avenue
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 838-4061

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York ☐ London

HAROLD A THAU

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

PERIOD ENDING 9/30/08
YOUR ACCOUNT NUMBER 1-2A467-3-0
YOUR TAX PAYER IDENTIFICATION NUMBER *****3125
PAGE 1

DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/02				BALANCE FORWARD		191,200.72	
9/08				WAL-MART STORES INC DIV 8/15/08 9/02/08	DIV		978.03
9/08				CHECK FIDELITY SPARTAN	CW DIV	/ 400,000.00	34.58
9/08		35,111	80101	U S TREASURY MONEY MARKET DIV 09/08/08			✓ 35,111.00
9/09				FIDELITY SPARTAN	1		
9/09				U S TREASURY MONEY MARKET JOHNSON E JOHNSON DIV 8/26/08 9/09/08	DIV		2,286.20
9/10				UNITED PARCEL SVC INC CLASS B	DIV		830.70
9/10				DIV 8/25/08 9/09/08 CHEVRON CORP	DIV		2,307.50
9/11				DIV 8/19/08 9/10/08 UNITED TECHNOLOGIES CORP	DIV		545.28
9/11				DIV 8/15/08 9/10/08 MICROSOFT CORP	DIV		1,546.38
9/16				DIV 8/21/08 9/11/08 MCDONALDS CORP	DIV		745.50
9/17		6,958	10669	DIV 9/02/08 9/16/08 ORACLE CORPORATION	DIV		✓ 134,080.98
9/17		1,562	11864	APPLE INC	19.310 150.770		✓ 235,440.74
				CONTINUED ON PAGE 2			

PLEASE RETAIN THIS STATEMENT FOR INCOME TAX PURPOSES

BERNARD L. MADOFF
INVESTMENT SECURITIES LLC
New York □ London

885 Third Avenue
New York, NY 10022
(212) 230-2424
800 334-1343
Fax (212) 338-4061

HAROLD A THAU

25 SYLVAN RD SO BLDG B CT 06880
WESTPORT

PERIOD ENDING **9/30/08** PAGE **2**

YOUR ACCOUNT NUMBER **1-ZA467-3-0** YOUR TAXPAYER IDENTIFICATION NUMBER *******3125**

DATE	BOUGHT RECEIVED/ISSUED	QUANTITY DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/17		2,840	14967	PEPSICO INC	72.460		205,673.40
9/17		2,698	16162	ABBOTT LABORATORIES	58.960		158,967.08
9/17		11,928	19265	PFIZER INC	18.360		218,521.08
9/17		4,686	20427	AMERICAN INTL GROUP INC	15.290		71,461.94
9/17		5,396	23563	PROCTER & GAMBLE CO	72.780		392,505.88
9/17		1,988	24710	AMGEN INC	63.320		125,801.16
9/17		3,692	27861	PHILLIP MORRIS INTERNATIONAL	54.170		199,848.64
9/17		8,378	29007	BANK OF AMERICA	33.040		276,474.12
9/17		2,840	32159	QUALCOMM INC	48.390		137,314.60
9/17		9,798	33305	CITI GROUP INC	18.220		178,128.56
9/17		2,130	36457	SCHLUMBERGER LTD	87.210		185,672.30
9/17		2,698	37603	CONOCOPHILIPS	72.510		195,524.98
9/17		10,792	40755	AT&T INC	31.370		338,114.04
9/17		10,508	41901	CISCO SYSTEMS INC	23.050		241,789.40
9/17		1,846	45036	UNITED PARCEL SVC INC	67.860		125,196.56
9/17		3,550	46199	CHEVRON CORP	83.210		295,253.50
9/17		1,704	49283	UNITED TECHNOLOGIES CORP	63.720		108,510.88
9/17		17,750	50497	GENERAL ELECTRIC CO	27.440		486,350.00
9/17		5,112	53572	VERIZON COMMUNICATIONS	34.570		176,517.84
9/17		426	54795	GOOGLE	432.200		184,100.20
9/17		6,106	57870	WELLS FARGO & CO NEW	33.390		203,635.34
9/17		710	59093	GOLDMAN SACHS GROUP INC	154.700		109,809.00
9/17		4,118	62168	WAL-MART STORES INC	62.470		257,087.46
9/17		4,402	63391	HEWLETT PACKARD CO	46.880		206,189.76
9/17				CONTINUED ON PAGE 3			

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*******3125**

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DATE	BOUGHT: REQUIRED OR LONG	SOLD: DECEASED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/17		9,230	66466	EXXON MOBIL CORP	76.080		701,849.40
9/17		2,414	67689	INTERNATIONAL BUSINESS MACHS	118.800		286,687.26
9/17		10,224	71987	INTEL CORP	19.970		203,765.28
9/17		4,970	76285	JOHNSON & JOHNSON	71.150		353,417.50
9/17		6,248	80582	J.P. MORGAN CHASE & CO	40.930		255,481.64
9/17		3,550	84880	CDCA COLA CO	53.790		190,812.50
9/17		1,988	89178	MCDONALDS CORP	64.430		128,007.84
9/17		3,834	93476	MERCK & CO	34.160		130,816.44
9/17		14,058	97774	MICROSOFT CORP	27.420		384,908.36
9/17	8,075,000		84984	U S TREASURY BILL DUE 2/12/2009	99.511	8,035,513.25	
9/17	11,510		89282	FIDELITY SPARTAN 2/12/2009	1	11,510.00	
9/19				U S TREASURY MONEY MARKET			1,030.92
9/26				AMERICAN INTL GROUP INC DIV 9/05/08 9/19/08	DIV		
9/26				BANK OF AMERICA DIV 9/05/08 9/26/08	DIV		5,361.92
9/26				QUALCOMM INC DIV 8/29/08 9/26/08	DIV		454.40
9/30				PEPSICO INC DIV 9/05/08 9/30/08	DIV		1,207.00
9/30	17,294		97403	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	17,294.00	
				NEW BALANCE			
				SECURITY POSITIONS			
	28,804			FIDELITY SPARTAN U S TREASURY MONEY MARKET	MKT PRICE 1	519,362.96	
				CONTINUED ON PAGE 4			

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
9/10	142		74537	BALANCE FORWARD			191,201.00
9/11		142	79062	S & P 100 INDEX	1.050	15,052.00	
9/17				SEPTEMBER 600 CALL	5.100		72,278.00
9/17	142	142	2073	S & P 100 INDEX	20		
			6371	SEPTEMBER 590 PUT			283,858.00
				S & P 100 INDEX	.900	12,922.00	
				SEPTEMBER 600 CALL			519,363.00
				NEW BALANCE			

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DATE	BROUGHT FORWARD RECEIVED OR LONG	PAID DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
10/01				BALANCE FORWARD		519,362.96	
10/01				COCA COLA CO DIV 9/15/08 10/01/08	DIV		1,349.00
10/01				HEWLETT PACKARD CO DIV 9/10/08 10/01/08	DIV		352.16
10/03				MERCK & CO DIV 9/05/08 10/01/08	DIV		1,456.92
10/03				SCHLUMBERGER LTD DIV 9/03/08 10/03/08	DIV		447.30
10/03				PHILIP MORRIS INTERNATIONAL DIV 9/15/08 10/01/08	DIV		1,998.68
10/31	5,599		9900	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	✓5,599.00	
				NEW BALANCE		519,362.96	
				SECURITY POSITIONS	MKT PRICE		
	8,075,000			FIDELITY SPARTAN U S TREASURY MONEY MARKET	1		
				U S TREASURY BILL DUE 2/12/2009	99.879		
				2/12/2009			
				MARKET VALUE OF SECURITIES LONG			
				8,099,632.25			
				SHORT			

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Exhibit B -

Customer Claim

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TIN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
				BALANCE FORWARD			519,363.06
				NEW BALANCE			519,363.06

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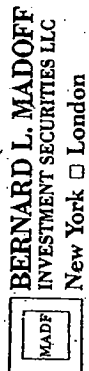
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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/12	7,476		1014	BALANCE FORWARD		519,362.90	
11/12	5,340		1516	WELLS FARGO & CO NEW	29.800	223,083.80	
11/12	4,628		5340	HEWLETT PACKARD CO	34.900	186,579.00	
11/12	3,026		5842	WAL-MART STORES INC	55.830	258,566.24	
11/12	11,214		9666	INTERNATIONAL BUSINESS MACHS	87.270	264,200.02	
11/12	12,282		10168	EXXON MOBIL CORP	72.880	817,724.32	
11/12	5,874		14494	INTEL CORP	14.510	178,702.82	
11/12	8,010		18819	JOHNSON & JOHNSON	59.580	350,206.92	
11/12	4,272		23145	J.P. MORGAN CHASE & CO	38.530	308,945.30	
11/12	2,492		27471	COCA COLA CO	44.660	190,957.52	
11/12	4,628		31797	MCDONALDS CORP	55.370	138,081.04	
11/12	16,910		36123	MERCK & CO	28.550	132,314.40	
11/12	8,544		40449	MICROSOFT CORP	21.810	369,483.10	
11/12	3,382		53427	ORACLE CORPORATION	17.300	148,152.20	
11/12	1,958		53929	PEPSICO INC	56.410	190,913.62	
11/12	14,418		57753	APPLE INC	100.780	197,405.24	
11/12	3,382		58255	PFIZER INC	16.940	244,816.92	
11/12	6,408		62079	ABBOTT LABORATORIES	54.610	184,826.02	
11/12	2,314		62581	PROCTER & GAMBLE CO	64.080	410,880.64	
11/12	4,450		66405	AMGEN INC	59.160	136,988.24	
11/12	10,680		66907	PHILLIP MORRIS INTERNATIONAL	43.600	194,198.00	
11/12	3,560		70731	BANK OF AMERICA	21.590	231,008.20	
11/12	11,570		71233	QUALCOMM INC	33.770	120,363.20	
				CITI GROUP INC	12.510	145,202.70	
				CONTINUED ON PAGE 2			

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11/12	2,670		75057	SCHLUMBERGER LTD	49.480	132,217.60	
11/12	6,408		75559	COMCAST CORP	16.510	106,052.08	
11/12	12,638		79383	CL A	27	341,731.00	
11/12	3,204		79885	AT&T INC	52.510	168,370.04	
11/12	2,136		83709	CONOCOPHILIPS	52.040	111,242.44	
11/12	12,994		84211	UNITED PARCEL SVC INC			
11/12	3,738		88035	CLASS B	16.730	217,908.62	
11/12	4,450		88035	CISCO SYSTEMS INC	29.530	110,532.14	
11/12	2,136		88537	U S BANCORP	73.430	326,941.50	
11/12	22,605		92361	CHEVRON CORP	55.160	113,634.76	
11/12	6,052		92863	UNITED TECHNOLOGIES CORP	19.630	444,659.78	
11/12	534		96687	GENERAL ELECTRIC CO	30.410	184,283.32	
11/12			97189	VERIZON COMMUNICATIONS	337.400	180,192.60	
11/12			23621	GOOGLE	99.936		8,069,832.00
11/12				U S TREASURY BILL DUE 2/12/2009			
11/12				2/12/2009			
11/12				FIDELITY SPARTAN	DIV		24.90
11/12				U S TREASURY MONEY MARKET			
11/12				DIV 11/12/08			
11/12		34,403	18724	FIDELITY SPARTAN	1		34,403.00
11/12	6,938		28092	U S TREASURY MONEY MARKET	1	6,938.00	
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				FIDELITY SPARTAN			
11/12				U S TREASURY MONEY MARKET			
11/12				DIV 11/19/08			
11/12				CONTINUED ON PAGE 3			

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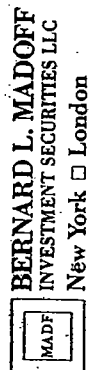
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DATE	BOUGHT RECEIVED-ON LONG	SOLD DELIVERED-OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
11/19		6,938	53608	FIDELITY SPARTAN	1		6,938.00
11/19	525,000		58092	U S TREASURY MONEY MARKET	99.926	524,611.50	
11/19	15,616		62644	U S TREASURY MONEY MARKET	1	15,616.00	
				NEW BALANCE		1,016,694.99	
	12,638			SECURITY POSITIONS	MKT PRICE		
	3,382			AT&T INC	28.560		
	2,314			ABBOTT LABORATORIES	52.390		
	1,958			AMGEN INC	55.540		
	10,680			APPLE INC	92.670		
	4,450			BANK OF AMERICA	16.250		
	12,994			CHEVRON CORP	79.010		
	11,570			CISCO SYSTEMS INC	16.540		
	4,272			CITI GROUP INC	8.290		
	6,408			COCA COLA CO	46.870		
				COMCAST CORP	17.340		
				CL A			
	3,204			CONOCOPHILIPS	52.520		
	11,214			EXXON MOBIL CORP	80.150		
	22,606			GENERAL ELECTRIC CO	17.170		
				CONTINUED ON PAGE 4			

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DATE	BOUGHT RECEIVED OR LONG	SOLD DELIVERED OR SHORT	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	534			GOOGLE	292.960		
	5,340			HEWLETT PACKARD CO	35.280		
	12,282			INTEL CORP	13.800		
	3,026			INTERNATIONAL BUSINESS MACHS	81.600		
	8,010			J-P. MORGAN CHASE & CO	31.660		
	5,874			JOHNSON & JOHNSON	58.580		
	2,492			MCDONALDS CORP	58.750		
	4,628			MERCK & CO	26.720		
	16,910			MICROSOFT CORP	20.220		
	8,544			ORACLE CORPORATION	16.090		
	3,382			PEPSICO INC	56.700		
	1,418			PFIZER INC	16.430		
	4,450			PHILLIP MORRIS INTERNATIONAL	42.160		
	6,408			PROCTER & GAMBLE CO	64.350		
	3,560			QUALCOMM INC	33.570		
	2,670			SCHLUMBERGER LTD	50.740		
	15,616			FIDELITY SPARTAN	1		
				U S TREASURY MONEY MARKET			
	3,738			U S BANCORP	26.980		
	2,136			UNITED PARCEL SVC INC	57.600		
				CLASS B			
	525,000			U S TREASURY BILL	99.971		
				DUE 03/26/2009			
				3/26/2009			
	2,136			UNITED TECHNOLOGIES CORP	48.530		
				CONTINUED ON PAGE 5			

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	67052			VERIZON COMMUNICATIONS	32.650		
	69628			WAL-MART STORES INC	55.880		
	77476			WELLS FARGO & CO NEW	28.890		
				MARKET VALUE OF SECURITIES			
				LONG			
				87382939.37			

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11/12				BALANCE FORWARD			519,363.00
11/12	178	178	44775	S & P 100 INDEX NOVEMBER 450 CALL	15.800		281,062.00
11/19			49101	S & P 100 INDEX NOVEMBER 450 PUT	17.800	317,018.00	
11/19	178	178	35205	S & P 100 INDEX DECEMBER 430 CALL	26		462,622.00
11/19			39530	S & P 100 INDEX DECEMBER 420 PUT	30	534,178.00	
11/19	178	178	43855	S & P 100 INDEX NOVEMBER 450 CALL	3	53,576.00	
11/19			48180	S & P 100 INDEX NOVEMBER 450 PUT	37		658,422.00
				NEW BALANCE			1,016,695.00
				SECURITY POSITIONS			
				S & P 100 INDEX DECEMBER 430 CALL	MKT PRICE 23.300		
	178			S & P 100 INDEX DECEMBER 420 PUT	16.500		
				MARKET VALUE OF SECURITIES			
				LONG			
				SHORT			
				293,700.00			
				414,740.00			

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